

TRANSMITTAL FORM

(To be used for all correspondence after initial filing)

TRANSMITTAL FORM (To be used for all correspondence after initial filing)		Application Number	09/881,823
		Filing Date	June 15, 2001
		First Named Inventor	Wenyuan Shi, et al.
		Group Art Unit	1645
		Examiner Name	Unknown
Total Number of Pages in This Submission	11	Attorney Docket Number	2101363-991100

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Request for Correction of the Official Filing Receipt <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Red-lined copy of OFR; 2. Copy of prelim. amd. Filed 10-3-01; copy of date-stamped postcard; and express mail certificate; and 3. return postcard
Remarks: _____		

RECEIVED
 AUG 15 2002
 TECH CENTER 1600/2400

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	29585 (Insert Customer No. or Attach bar code label here)
---	--

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GRAY CARY WARE & FRIEDENRICH LLP

Dated:

7/10/02

By:

Nan Wu
 Reg. No. 43,360
 Attorneys for Applicant(s)
 153 Townsend Street, Suite 800
 San Francisco, CA 94107-1922
 (415) 836-2500

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231 on this date: July 10, 2002

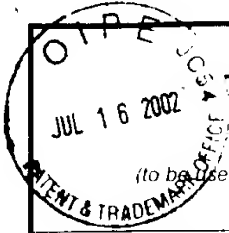
Typed or printed name Ta-Tanisha L. Moore

Signature

Ta-Tanisha L. Moore

Date

July 10, 2002

 TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/881,823	
	Filing Date	June 15, 2001	
	First Named Inventor	Wenyuan Shi, et al.	
	Group Art Unit	1645	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	11	Attorney Docket Number	2101363-991100

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Request for Correction of the Official Filing Receipt <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Red-lined copy of OFR; 2. Copy of prelim. amd. Filed 10-3-01; copy of date-stamped postcard; and express mail certificate; and 3. return postcard
Remarks: _____		

☒ Customer Number or Bar Code Label

29585

(Insert Customer No. or Attach bar code label here)

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GRAY CARY WARE & FREDENRICH LLP

Dated: 7/10/02By: 

Nan Wu
 Reg. No. 43,360
 Attorneys for Applicant(s)
 153 Townsend Street, Suite 800
 San Francisco, CA 94107-1922
 (415) 836-2500

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231 on this date: July 10, 2002

Typed or printed name	Ta-Tanisha L. Moore		
Signature		Date	<u>July 10, 2002</u>

RECEIVED
 AUG 15 2002
 TECH CENTER 1600/2900



COPY OF PAPERS
ORIGINALLY FILED

Attorney Docket No. 2101363-991100

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Wenyuan Shi, et al.

Serial No.: 09/881,823

Group Art Unit: 1645

Filed: June 15, 2001

Examiner: Unknown

Title: DNA MOLECULES AND RECOMBINANT DNA MOLECULES FOR
PRODUCING HUMANIZED MONOCLONAL ANTIBODIES TO *S. MUTANS*

* * *

REQUEST TO CORRECT FILING RECEIPT

RECEIVED
AUG 15 2002
TECH CENTER 1600/2900

Attn.: Office of Initial Patent Examination's
Customer Service Center
Commissioner for Patents
Washington, DC 20231

Sir:

Attorney for Applicants hereby requests a correction of the Official Filing Receipt in U.S.

Patent Application No. 09/881,823 identified above. The current filing receipt lists the title as:

"Method for the treatment and prevention of dental caries." On October 3, 2001, a preliminary amendment was filed requesting that the title be changed to: **"DNA Molecules and**

Recombinant DNA Molecules for Producing Humanized Monoclonal Antibodies to *S.*

***Mutans*."** A marked-up copy of the filing receipt with the indicated change noted in red is

enclosed. Additionally, copies of the preliminary amendment along with the supporting

documents (return acknowledgement date-stamped postcard, certificate of mailing and express

mail certificate) evidencing that the preliminary amendment was filed on October 3, 2001 and

received by the U.S. Patent and Trademark Office are enclosed for reference purposes.

Attorney for Applicants respectfully requests that this error be corrected, and that a
corrected filing receipt be issued at an early date.

Please forward the *corrected* filing receipt to the following:

Nan Wu
Gray Cary Ware & Freidenrich LLP
153 Townsend Street, Suite 800
San Francisco, CA 94107-1922

COPY OF PAPERS
ORIGINALLY FILED

Respectfully Submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 7/10/02

By: 

Nan Wu
Reg. No. 43,360

Attorneys for Applicants

Gray Cary Ware & Freidenrich LLP
153 Townsend Street, Suite 800
San Francisco, CA 94107-1922
Telephone: (415) 836-2500



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 8957

SERIAL NUMBER 09/881,823	FILING DATE 06/15/2001 RULE	CLASS 424	GROUP ART UNIT 1645	ATTORNEY DOCKET NO. 22851-032
------------------------------------	---	---------------------	-------------------------------	---

APPLICANTS

Wenyuan Shi, Los Angeles, CA;
Sherie L. Morrison, Los Angeles, CA;
Kham Trinh, Alhambra, CA;
Letitia Wims, Culver City, CA;
Li Chen, Los Angeles, CA;
Maxwell H. Anderson, Seattle, WA;

RECEIVED
AUG 15 2002
TECH CENTER 1600/2900

** CONTINUING DATA *****

THIS APPLICATION IS A CIP OF 09/378,577 08/20/1999

** FOREIGN APPLICATIONS *****

IF REQUIRED, FOREIGN FILING LICENSE GRANTED

** 10/10/2001

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY CA	SHEETS DRAWING 6	TOTAL CLAIMS 24	INDEPENDENT CLAIMS 2
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature _____ Initials _____				

ADDRESS

29585

TITLE

DNA molecules and recombinant DNA molecules for producing humanized monoclonal antibodies to S. mutans

FILING FEE RECEIVED 782	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees (Filing)
		<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)
		<input type="checkbox"/> 1.18 Fees (Issue)
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

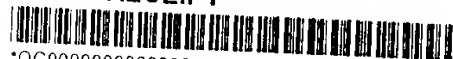
APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/881,823	06/15/2001	1645	782	22851-032	6	24	2

David J. Meyer
11355 W Olympic Blvd
Los Angeles, CA 90064

COPY OF PAPERS
ORIGINALLY FILED

CONFIRMATION NO. 8957

FILING RECEIPT



OC000000006886088

Date Mailed: 10/11/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Wenyuan Shi, Los Angeles, CA;
Sherie L. Morrison, Los Angeles, CA;
Kham Trinh, Alhambra, CA;
Letitia Wims, Culver City, CA;
Li Chen, Los Angeles, CA;
Maxwell H. Anderson, Seattle, WA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/378,577 08/20/1999 ABN

Foreign Applications

If Required, Foreign Filing License Granted 10/10/2001

Projected Publication Date: 01/17/2002

Non-Publication Request: No

Early Publication Request: No

Title

DNA MOLECULES AND RECOMBINANT DNA MOLECULES FOR PRODUCING
HUMANIZED MONOCLONAL ANTIBODIES TO S. MUTANS
~~Method for the treatment and prevention of dental caries~~

Preliminary Class

RECEIVED
AUG 15 2002
TECH CENTER 1600/2900

424

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

COPY OF PAPER
ORIGINALLY FILED

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



PATENT
22851.032

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:
WENUAN SHI, and MAXWELL ANDERSON

Group Art Unit: 3732

Examiner: To Be Assigned

Serial No. 09/910358

Filed: July 16, 2001

For: CHIMERIC MONOCLONAL
ANTIBODIES SPECIFIC TO S.
MUTANS

RECEIVED
AUG 15 2002
TECH CENTER 1600/2900

CERTIFICATE OF MAILING

Assistant Commissioner for Patents
Washington D.C. 20231

I hereby certify that a Preliminary Amendment and Return Postcard are being deposited with the United States Postal Service; postage prepaid, Express Mail No. EL 922800104 US on the date indicated below and addressed to: *Hon. Assistant Commissioner of Patents, Washington, D.C. 20231.*

OCT 3 2001

(Date of Deposit)

Axel O. Perez

(Name of Person Mailing Paper or Fee)

Axel O. Perez

(Signature)



COPY OF PAPERS
ORIGINALLY FILED

RECEIVED

AUG 15 2002

TECH CENTER 1600/2900

TITLE Chimeric Monoclonal Antibodies Specific To S. Mutans
S/N 09/881,823 FILING DATE July 19, 2001
APPLICANT Wenyuan Shi FILE NO. 22851-032
MAIL DATE October 3, 2001
EXPRESS MAIL ABEL EL 922800104US

Receipt in the USPTO is hereby acknowledged of:

- | | |
|---|--|
| <input type="checkbox"/> Patent Application | <input type="checkbox"/> Response to Office Action |
| <input type="checkbox"/> Declaration and POA | <input type="checkbox"/> Request for Extension |
| <input type="checkbox"/> Drawings Page | <input type="checkbox"/> Issue Fee Transmittal |
| <input type="checkbox"/> No. Claims | <input checked="" type="checkbox"/> Certificate of Mailing |
| <input type="checkbox"/> Transmittal letter [orig/copy] | <input type="checkbox"/> Petition |
| <input type="checkbox"/> Notice of Appeal | <input type="checkbox"/> Appeal Brief |
| <input type="checkbox"/> Declaration | <input type="checkbox"/> IDS |
| <input type="checkbox"/> Request for Correction of Filing Receipt | |
| <input type="checkbox"/> Check No. [S] [] | |
| <input checked="" type="checkbox"/> Other Preliminary Amendment | |





**POST OFFICE
TO ADDRESSEE**



EL 922800104 US

ORIGIN (POSTAL USE ONLY)

PSN Code 970050		Day of Delivery Next 7		Flat Rate Envelope <input type="checkbox"/>	
Date In Mo 10 Day 3 Year 01		Time In PM 2:50		Postage \$	
Weight lbs 8 ozs		Int'l Alpha Country Code		Return Receipt Fee <input type="checkbox"/>	
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday		Acceptance Clerk initials Bm		COD Fee \$ 12.45	
				Insurance Fee <input type="checkbox"/>	

**SEE REVERSE SIDE FOR
SERVICE GUARANTEE AND LIMITS
ON INSURANCE COVERAGE**

☐ **WAIVER OF SIGNATURE (Domestic Only):** Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.

NO DELIVERY ☐ Weekend ☐ Holiday ☐ Customer Signature

CUSTOMER USE ONLY

METHOD OF PAYMENT:

Express Mail Corporate Acct. No.

Federal Agency Acct. No. or
Postal Service Acct. No.

FROM: (PLEASE PRINT)

PHONE ()

MAMATT PHELPS & PHILLIPS LLP
11355 W OLYMPIC BLVD
LOS ANGELES CA 90064-1616

TO: (PLEASE PRINT)

PHONE ()

Hon. Assistant Commissioner of Patents
Washington D.C. 20231

David J. Meyer, Esq.

22851-032

FOR PICKUP OR TRACKING CALL 1-800-222-1811

www.usps.com



Customer Copy
Label 11-F August 2000